

FEB 04 2004



EXPRESS MAIL LABEL NO. EV384064553US

PATENT APPLICATION

Docket No. 15824.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of		)	
	Scot N. Andersen	)	
Serial No.	10/701,788	)	Art Unit
Confirmation No.	Not Yet Assigned	)	Not Yet
		)	Assigned
Filed:	November 4, 2003	)	
For:	PRE-SHAPED DENTAL TRAYS AND TREATMENT DEVICES AND METHODS THAT UTILIZE SUCH DENTAL TRAYS	)	
Examiner:	Not Yet Assigned	)	

I hereby certify that following documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below in an envelope addressed to: Commissioner of Patents, P.O. Box 1450, Arlington, Virginia 22313-1450.

Date of deposit: February 3, 2004.

- Transmittal for Information Disclosure Statement (2 pgs.)
- Information Disclosure Statement (3 pgs.)
- Form PTO-1449 (3 pgs.)
- Postcard

Respectfully submitted,

John M. Guynn  
Attorney for Applicant(s)  
Registration No. 36,153  
Customer No. 022913

JMG:mla

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		)	
Examiner:	Not Yet Assigned	)	

## TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22310-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

X Form PTO-1449 listing twenty-six (26) references submitted for consideration.

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

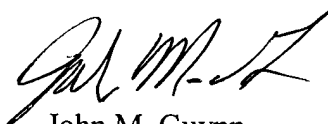
This IDS is being filed prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.

C. Fees

This Information Disclosure Statement is being filed prior to the later of either three (3) months following the filing date or the mailing of a first Office Action; therefore, no fee is due. The Commissioner is hereby authorized to charge payment of or to credit any overpayment of fees thereof, to Deposit Account No. 23-3178. A duplicate copy of this sheet is enclosed.

Dated this 3<sup>rd</sup> day of February 2004.

Respectfully submitted,



John M. Guynn  
Attorney for Applicant  
Registration No. 36,153  
Customer No. 022913

JMG:mla



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Examiner:	Not Yet Assigned	)	

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22310-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

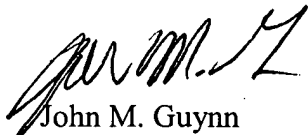
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

DATED this 3<sup>rd</sup> day of February 2004.

Respectfully submitted,



John M. Guynn  
Attorney for Applicant  
Registration No. 36,153  
Customer No. 022913

JMG:mla

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Applicant:

Scot N. Andersen

Serial No.

10/701,788

Confirmation No.

Not Yet Assigned

Filing Date:

November 4, 2003

or:

PRE-SHAPED DENTAL TRAYS AND TREATMENT DEVICES AND  
METHODS THAT UTILIZE SUCH DENTAL TRAYS

Att'y Docket No. 15824.1.1

Group: Not Yet Assigned

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
___ 1	165,584	07/13/1875	Hopfen
___ 2	1,637,153	07/26/27	Lawton
___ 3	2,257,709	09/30/41	Anderson
___ 4	3,339,547	09/05/67	Drabkowski
___ 5	3,527,219	09/08/70	Greenberg
___ 6	3,624,909	12/07/71	Greenberg
___ 7	3,955,281	05/11/76	Weitzman
___ 8	4,064,628	12/27/77	Weitzman
___ 9	4,138,814	02/13/79	Weitzman
___ 10	4,902,227	02/20/90	Smith
___ 11	5,085,585	02/04/92	Zimble
___ 12	5,211,559	05/18/93	Hart et al.
___ 13	5,356,291	10/18/94	Darnell
___ 14	5,573,399	11/12/96	McClintock, II

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Scot N. Andersen  
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PRE-SHAPED DENTAL TRAYS AND TREATMENT DEVICES AND  
METHODS THAT UTILIZE SUCH DENTAL TRAYS

____ 15	5,575,654	11/19/96	Fontenot
____ 16	5,702,251	12/30/97	McClintock, II
____ 17	5,863,202	01/26/99	Fontenot et al.
____ 18	5,895,218	04/20/99	Quinn et al.
____ 19	5,980,249	11/09/99	Fontenot
____ 20	6,089,869	07/18/00	Schwartz
____ 21	6,126,443	10/03/00	Burgio
____ 22	6,142,780	11/07/00	Burgio
____ 23	6,183,251	02/06/01	Fischer
____ 24	6,247,930	06/19/01	Chiang et al.
____ 25	6,274,122	08/14/01	McLaughlin
____ 26	6,280,196	08/28/01	Berghash

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

WA15824A1.1\MLA0000001216V001.doc

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.